

## STIC Database Tracking Number:

To: Lalita Hamilton  
Location: KNX 04 A39  
Art Unit: 3691  
Date: 05/26/09  
Case Serial Number: 09/714726

From: Paul Obiniyi  
Location: EIC3600  
KNX 02 D08-B  
Phone: (571) 272-27734  
paul.obiniyi@uspto.gov

## Search Notes

Dear Examiner Hamilton:

Please find attached the results of your search for the above-referenced case. The search was conducted in the template files.

I have listed *potential* references of interest in the first part of the search results. However, please be sure to scan through the entire report. There may be additional references that you find useful.

If you have any questions about the search, or need a refocus, please do not hesitate to contact me.

Thank you for using the EIC, and we look forward to your next search!

Paul

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## I. Potential References of Interest

### A. Dialog

eLink: Order File History

1/3,K/15 (Item 3 from file: 654)

DIALOG(R)File 654: US PAT.FULL.

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7698528

UTILITY

**System for trading commodities and the like**

Inventor: Annunziata, Vincent P., Greenwich, CT, US

Assignee: Unassigned

Correspondence Address: Paul E Schaafsma;NovusIP, LLC, Suite 221, 521 West Superior Street, Chicago, IL, 60610, US

	Publication Number	Kind	Date	Application Number	Filing Date
Main Patent	US 20080215477	A1	20080904	US 200870138	
20080215					
CIP	PENDING			US 2001764574	20010118
Provisional				US 60-177275	20000121

Fulltext Word Count: 21899

\*\*IMAGE Available

Description of the Invention:

...anonymously for his client, i.e. that a client's name or other identification information **not** be provided with any **bids** or offers submitted to the system 10. Alternatively, the user 16 may **permit** the **broker** to submit indications under the user's name. Thus, the **broker** may submit a **bid** for a **commodity** and the indication could be shown under the user's contact information and according the...

Dialog eLink: Order File History

1/3,K/14 (Item 2 from file: 654)

DIALOG(R)File 654: US PAT.FULL.

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7872702

UTILITY

**Read-only user access for web based auction**

Inventor: Wieseuegel, Leland James, Austin, TX, US

Roberts, Rebecca Lynn, Austin, TX, US

Morrison, William James, Gilmanton, NH, US

Rzepka, Jacob Marvin, Round Rock, TX, US

Assignee: International Business Machines Corporation, (02), Armonk, NY, US

Examiner: Zurita, James

Legal Representative: Frantz, Robert H.; Mims, Jr., David A.

	Publication Number	Kind	Date	Application Number	Filing Date
Main Patent	US 7475025	B2	20090106	US 2001801613	
20010308					
Related Publ	US 20020128949	A1	20020912		

US Term Extension: 1524 days

Fulltext Word Count: 6689

\*\*IMAGE Available

Description of the Invention:

...pairs if the bidder or broker is considering executing an amended RMA to include those items, as well as allowing for guests who do not currently have any entitled location category pairs. In other words, a current bidder or broker may be enabled to see information about certain offers and bid on those offers having a "Y" for those offers in his profile, while he may ...

---

1/3,K/11 (Item 1 from file: 635)

DIALOG(R)File 635: Business Dateline(R)

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0216531 91-39285

**Shaking a Shoddy Image**

Rigg, Cynthia

Crains New York Business ( New York , NY , US ), V 7 N 19 s 1 p 3

**Publication Date:** 910513

**Word Count:** 994

**Dateline:** New York, NY, US

**Text:**

...interest-rate constraints, New York state pawnshop dealers are limited on the resale of unredeemed merchandise. They're not allowed to sell unclaimed items directly, as are shop owners in 48 states. Instead, unclaimed goods must be put up for public auction, although a broker is permitted to buy them at the last-price bid.

Only after buying the unredeemed goods at auction can a pawnbroker retail the merchandise. But the broker is also obligated to contact the customer, who has claim to any profit over the...

## II. Inventor Search Results from Dialog

t/3,k/all

Dialog eLink: Order File History

9/3,K/1 (Item 1 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0018670020 *Drawing available*

WPI Acc no: 2009-E41648/200910

**Interactive offer and bid collection conducting method for purchasing item, involves preparing and presenting set of entitled offerings to guest user of offering and bidding process based on guest profile e.g. item category parameter**

Patent Assignee: MORRISON W J (MORR-I); ROBERTS R L (ROBE-I); RZEPKA J M (RZEP-I); WIESEHUEGEL L J (WIES-I)

Inventor: **MORRISON W J; ROBERTS R L; RZEPKA J M; WIESEHUEGEL L J**

Patent Family ( 1 patents, 1 countries )

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
US 20090030813	A1	20090129	US 2008243410	A	20081001	200910	B
			US 2001801613	A	20010308		

Priority Applications (no., kind, date): US 2001801613 A 20010308; US 2008243410 A 20081001

Patent Details

Patent Number	Kind	Lan	Pgs	Draw	Filing Notes
US 20090030813	A1	EN	12	7	Continuation of application US 2001801613

Inventor: **MORRISON W J... ..ROBERTS R L... ..RZEPKA J M... ..WIESEHUEGEL L J**

**Alerting Abstract** ...an offeror. A reseller master agreement in a computer-readable record is provided for each **broker** entitling a subset of the products/services. A set of entitled offerings are prepared and...  
...DESCRIPTION OF DRAWINGS - The drawing shows a flowchart illustrating a process of **broker** offer presentations, normal bid collection, and read-only offer presentations. Original Publication Data by AuthorityArgentinaPublication No. Inventor name & address:Morrison, William James...

...Roberts, Rebecca Lynn... ..Rzepka, Jacob Marvin... ..Wiesehuegel, Leland James ...**Original Abstracts:**entitlement schema to the available goods lists to produce offerings for a plurality of guest **brokers**. Only bid-relevant product information is presented to each guest **broker** as needed in order to protect the offering party's overall position on the offered good(s). Guest **broker** profiles or entitlement schema may be based on perspective contractual arrangements between potential **brokers**, traders, and a manufacturer or service provider. Offerings are presented to the guest **brokers**, who are restricted from participating in the bidding process. ...**Claims:**said trader communicating offerings to resell said

available products or services to one or more **brokers** associated with each trader; in a third tier of said offering and bidding process, each said **broker** responding with bids to purchase said resold products or services through said trader; providing a reseller master agreement in a computer-readable record for each **broker** entitling a subset of said products and services on which each **broker** may bid, said subset being authorized for further resale by each **broker** to one or more end users, said end users comprising a fourth tier of said...

Dialog eLink: [Order File History](#)

9/3,K/2 (Item 2 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0012996880 *Drawing available*

WPI Acc no: 2003-074832/200307

XRPX Acc No: N2003-057895

**Offer provision method for participant in online auction, involves providing profile indicating allowable items for each participant and preparing entitled offerings according to profiles**

Patent Assignee: INT BUSINESS MACHINES CORP (IBMC)

Inventor: **MORRISON W J; ROBERTS R L; RZEPKA J M; WIESEHUEGEL L J**

Patent Family ( 3 patents, 2 countries )

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
US 20020128949	A1	20020912	US 2001801613	A	20010308	200307	B
CA 2369438	A1	20020908	CA 2369438	A	20020125	200307	E
US 7475025	B2	20090106	US 2001801613	A	20010308	200906	E

Priority Applications (no., kind, date): US 2001801613 A 20010308; US 2001801613 A 20010308

Patent Details

Patent Number	Kind	Lan	Pgs	Draw	Filing Notes
US 20020128949	A1	EN	13	7	
CA 2369438	A1	EN			

Inventor: **MORRISON W J... ROBERTS R L... RZEPKA J M... WIESEHUEGEL L J**

**Alerting Abstract ... USE - For preparing and presenting entitled offerings to participants such as broker, buyer, bidder, trader, etc., in online auctions, using personal computer-based web browser, wireless web... Original Publication Data by AuthorityArgentinaPublication No. Inventor name & address:ROBERTS R L... MORRISON W J... RZEPKA J M... WIESEHUEGEL L J...**

**...Wiesehuegel, Leland James... Roberts, Rebecca Lynn... Morrison, William James...**

**...Rzepka, Jacob Marvin... Wiesehuegel, Leland James... Roberts, Rebecca Lynn... Morrison, William James... Rzepka, Jacob Marvin ...Original Abstracts:entitlement schema to the available goods lists to produce offerings for a plurality of guest brokers. Only bid-relevant product information**

is presented to each guest **broker** as needed in order to protect the offering party's overall position on the offered good(s). Guest **broker** profiles or entitlement schema may be based on perspective contractual arrangements between potential **brokers**, traders, and a manufacturer or service provider. Offerings are presented to the guest **brokers**, who are restricted from participating in the bidding process... or services. Each trader then communicates offerings to resell the offered products or services to **brokers** associated with each trader. Then, the **brokers** respond with bids to purchase the offered products or services according to a reseller master agreement (RMA) which entitles each **broker** to offer to end users a subset of the offered products and services. A guest... **Claims:**entitled offerings to guest participants in online offerings a auctions, said guest participants including guest **brokers**, bidders, buyers and traders, said method comprising the steps of: providing a profile for each... each trader communicating offerings to resell said available products or services to one or more **brokers** associated with each trader, followed by said **brokers** responding with bids to purchase said resold products or services through said trader, providing a reseller master agreement in a computer-readable record for each **broker** entitling a subset of said products and services on which each **broker** may bid, said subset being authorized for further resale by each **broker** to one or more end users; further providing a profile for a guest in a...

Dialog eLink: Order File History

9/3,K/3 (Item 3 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0012952093 *Drawing available*

WPI Acc no: 2003-028992/200302

XRPX Acc No: N2003-022830

**Interactive bid account information management method for e-commerce applications, involves providing to session participant summaries of total values of bids and receiving user selected set of filter options**

Patent Assignee: INT BUSINESS MACHINES CORP (IBMC)

Inventor: LE H K; MORRISON W J; ROBERTS R L; WIESEHUEGEL L J

Patent Family ( 1 patents, 1 countries )

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
US 20020128948	A1	20020912	US 2001801604	A	20010308	200302	B

Priority Applications (no., kind, date): US 2001801604 A 20010308

Patent Details

Patent Number	Kind	Lan	Pgs	Draw	Filing Notes
US 20020128948	A1	EN	13	6	

...Inventor: MORRISON W J... ROBERTS R L... WIESEHUEGEL L J Alerting Abstract ...  
DESCRIPTION OF DRAWINGS - The figure shows a wear interface presented to a bidder or

**broker.**Original Publication Data by AuthorityArgentina**Publication No.** Inventor name & address:**Wieschuegel, Leland James...**...**Roberts, Rebecca Lynn...**...**Morrison, William James**...**Original Abstracts:**computer arrangement through which a manufacturer or service provider may communicate to a bidder or **broker** information regarding total **bid** exposure and total commitment to purchase, filtered by type of on-line offer, status of...

**Dialog eLink:** Order File History

9/3,K/4 (Item 4 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0012686186 *Drawing available*

WPI Acc no: 2002-536870/200257

XRPX Acc No: N2002-425191

**Sales offering method for electronic bidding, involves unsealing one or more sealed bids in database and presenting unsealed bids to trader through computer user interface**

Patent Assignee: MORRISON W J (MORR-I); ROBERTS R L (ROBE-I); WIESEHUEGEL L J (WIES-I)

Inventor: **MORRISON W J; ROBERTS R L; WIESEHUEGEL L J**

Patent Family ( 1 patents, 1 countries )

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
US 20020065760	A1	20020530	US 2000726009	A	20001129	200257	B

Priority Applications (no., kind, date): US 2000726009 A 20001129

Patent Details

Patent Number	Kind	Lan	Pgs	Draw	Filing Notes
US 20020065760	A1	EN	13	7	

Inventor: **MORRISON W J...**...**ROBERTS R L...**...**WIESEHUEGEL L J** **Alerting Abstract** ...for filtering or restriction of information about the offered goods to such potential purchasers or **brokers**, such that confidentiality requirements, regulatory and territorial requirements are met. Provides a robust and secure architecture to insure that product offerings are made available only to entitled **brokers** and that system failure will not result in loss of availability of offerings and bidding... Original Publication Data by AuthorityArgentina**Publication No.** Inventor name & address:**Wieschuegel, Leland James...**...**Roberts, Rebecca Lynn...**...**Morrison, William James**

?

9/3,K/1 (Item 1 from file: 20)

DIALOG(R)File 20: Dialog Global Reporter

(c) 2009 Dialog. All rights reserved.

21382359 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Merged entity set for global success

Gwyneth Roberts

SOUTH CHINA MORNING POST , p 7

February 22, 2002

Journal Code: FSCP Language: English Record Type: FULLTEXT

Word Count: 473

(USE FORMAT 7 OR 9 FOR FULLTEXT)

Gwyneth Roberts

...Eurex has yet to sign any members in Asia, it is connecting with several local brokers, offering them access to a complete diversified range of established global financial products.

Significant volumes are already being...

### III. Text Search Results from Dialog

#### A. Full-Text Databases

? show files

File 9:Business & Industry(R) Jul/1994-2009/May 23  
(c) 2009 Gale/Cengage  
File 15:ABI/Inform(R) 1971-2009/May 23  
(c) 2009 ProQuest Info&Learning  
File 16:Gale Group PROMT(R) 1990-2009/May 04  
(c) 2009 Gale/Cengage  
File 20:Dialog Global Reporter 1997-2009/May 26  
(c) 2009 Dialog  
File 47:Gale Group Magazine DB(TM) 1959-2009/May 14  
(c) 2009 Gale/Cengage  
File 75:TGG Management Contents(R) 86-2009/Apr W4  
(c) 2009 Gale/Cengage  
File 80:TGG Aerospace/Def.Mkts(R) 1982-2009/Apr 30  
(c) 2009 Gale/Cengage  
File 88:Gale Group Business A.R.T.S. 1976-2009/May 22  
(c) 2009 Gale/Cengage  
File 98:General Sci Abs 1984-2009/May  
(c) 2009 The HW Wilson Co.  
File 112:UBM Industry News 1998-2004/Jan 27  
(c) 2004 United Business Media  
File 141:Readers Guide 1983-2009/Apr  
(c) 2009 The HW Wilson Co  
File 148:Gale Group Trade & Industry DB 1976-2009/May 11  
(c) 2009 Gale/Cengage  
File 160:Gale Group PROMT(R) 1972-1989  
(c) 1999 The Gale Group  
File 275:Gale Group Computer DB(TM) 1983-2009/Apr 29  
(c) 2009 Gale/Cengage  
File 264:DIALOG Defense Newsletters 1989-2009/May 21  
(c) 2009 Dialog  
File 369:New Scientist 1994-2009/May W2  
(c) 2009 Reed Business Information Ltd.  
File 370:Science 1996-1999/Jul W3  
(c) 1999 AAAS

File 484:Periodical Abs Plustext 1986-2009/May W3  
(c) 2009 ProQuest  
File 553:Wilson Bus. Abs. 1982-2009/May  
(c) 2009 The HW Wilson Co  
File 570:Gale Group MARS(R) 1984-2009/May 04  
(c) 2009 Gale/Cengage  
File 608:MCT Information Svc. 1992-2009/May 26  
(c) 2009 MCT Information Svc.  
File 620:EIU:Viewswire 2009/May 25  
(c) 2009 Economist Intelligence Unit  
File 613:PR Newswire 1999-2009/May 26  
(c) 2009 PR Newswire Association Inc  
File 621:Gale Group New Prod.Annou.(R) 1985-2009/Apr 20  
(c) 2009 Gale/Cengage  
File 623:Business Week 1985-2009/May 26  
(c) 2009 The McGraw-Hill Companies Inc  
File 624:McGraw-Hill Publications 1985-2009/May 26  
(c) 2009 McGraw-Hill Co. Inc  
File 634:San Jose Mercury Jun 1985-2009/May 22  
(c) 2009 San Jose Mercury News  
File 635:Business Dateline(R) 1985-2009/May 26  
(c) 2009 ProQuest Info&Learning  
File 636:Gale Group Newsletter DB(TM) 1987-2009/May 04  
(c) 2009 Gale/Cengage  
File 647:UBM Computer Fulltext 1988-2009/May W1  
(c) 2009 UBM, LLC  
File 696:DIALOG Telecom. Newsletters 1995-2009/May 23  
(c) 2009 Dialog  
File 674:Computer News Fulltext 1989-2006/Sep W1  
(c) 2006 IDG Communications  
File 810:Business Wire 1986-1999/Feb 28  
(c) 1999 Business Wire  
File 813:PR Newswire 1987-1999/Apr 30  
(c) 1999 PR Newswire Association Inc  
File 587:Jane's Defense&Aerospace 2009/Apr W4  
(c) 2009 Jane's Information Group

?ds

Set	Items	Description
S1	81050	(BROKERAGE OR FUND()MANAGER? ? OR BROKER OR BROKERS OR CUSTODIAN? ?) (3N) (ACCESS? OR GRANT??? OR PERMIT??? OR ALLOW OR ALLOW OR ALLOWING OR ALLOWANCE OR AUTHO? OR PERMISSION OR PRIVILEGE?)
S2	5600	S1(7N) (BID OR BIDS OR BIDDING OR OFFER??? OR TENDER? ? OR PROPOS? OR SOLICIT???)
S3	1963204	(GROUP OR MIX OR BLOCK OR BLOC OR POOL OR CLUSTER??? OR LIST??? OR COMBINATION? ?) (3N) (MERCHANDI? OR GOODS OR WARES OR ITEM? ? OR PRODUCT? ? OR ARTICLE? ? OR THING? ? OR OBJECT? ? OR COMMODIT???)
S4	4879919	("NOT" OR NON OR NO OR WITHOUT OR WITH()OUT OR LACK??? OR EXCLUD??? OR OMIT??? OR PREVENT?) (3N) (ACCESS? OR GRANT??? OR PERMIT??? OR ALLOW OR ALLOW OR ALLOWING OR ALLOWANCE OR AUTHO? OR PERMISSION OR PRIVILEGE?)
S5	2206830	(BID OR BIDS OR BIDDING OR OFFER??? OR TENDER? ? OR PROPOS? OR SOLICIT???) (3N) (MERCHANDI? OR GOODS OR WARES OR ITEM? ? OR PRODUCT? ? OR ARTICLE? ? OR THING? ? OR OBJECT? ? OR COMMODIT???)
S6	3846932	("NOT" OR NON OR NO OR WITHOUT OR WITH()OUT OR LACK??? OR EXCLUD??? OR OMIT??? OR PREVENT?) (3N) (ENTITLED OR ALLOW? OR AUTHORIZE? OR ENABLE OR PERMIT OR GRANT? OR QUALIFIED OR APPROVED OR ENABLE? ? OR LICENSE? ?)
S7	42290	AU=(WIESEHUEGEL,L? OR WIESEHUEGEL L? OR WIESEHUEGEL(2N)L? -

OR ROBERTS,R? OR ROBERTS R? OR ROBERTS (2N)R? OR MORRISON,W? -  
OR MORRISON W? OR MORRISON(2N)W? OR RZEPKA,J? OR RZEPKA J? OR  
RZEPKA (2N)J?)

S8	9	S7 AND S1
S9	1	S8 AND S2
S10	21	S2 (7N) S3
S11	201	S2 (7N) S4
S12	6	S11 (10N) S5
S13	97	S11 (15N) S6
S14	0	S13 (20N) S3
S15	27	S10 OR S12
S16	11	S15 NOT PY>2000
S17	29	S13 NOT PY>2000
S18	28	S17 NOT S16

? t/3,k/all

16/3,K/1 (Item 1 from file: 9)  
DIALOG(R)File 9: Business & Industry(R)  
(c) 2009 Gale/Cengage. All rights reserved.

01203955 Supplier Number: 23823999 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Nonlife premiums decline in South Korea**  
( Nonlife insurance premiums in South Korea starting to fall; 3 large conglomerates to enter the life sector )

Journal of Commerce , v 411 , n 28,922 , p 10A  
March 04, 1997  
**Document Type:** Journal ISSN: 0021-9819 ( United States )  
**Language:** English **Record Type:** Fulltext  
**Word Count:** 434 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**TEXT:**  
...companies.

Next month, a brokerage system will be instituted and a year after that foreign **brokers** will be **permitted** to **offer non**-life **products**, and both domestic and foreign brokers will be able to sell life policies.

---

16/3,K/2 (Item 1 from file: 15)  
DIALOG(R)File 15: ABI/Inform(R)  
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02090169 63426378  
**Brokers on the Net**

McLachlan, Martin  
Insurance Brokers' Monthly & Insurance Adviser v50n11 pp: 23-26  
Nov 2000  
ISSN: 0260-2385 **Journal Code:** IBA

**Word Count: 1453**

**Text:**

...meet the needs of a particular affiliation group or where an insurer may wish to **offer** customised **products** to a select **group** of **brokers**. The intermediary can **access** the insurer's site either from his or her inhouse system or a standard browser...

---

16/3,K/4 (Item 2 from file: 16)

DIALOG(R)File 16: Gale Group PROMT(R)

(c) 2009 Gale/Cengage. All rights reserved.

07923404 **Supplier Number: 66210252 (USE FORMAT 7 FOR FULLTEXT)**

**Arthur J. Gallagher & Co. Announces New Coveragefirst Website Launch.**

PR Newswire , p NA

Oct 19 , 2000

**Language:** English **Record Type:** Fulltext

**Document Type:** Newswire ; Trade

**Word Count:** 329

...other features niche product choices, live customer assistance capabilities and real time insurance news. Coveragefirst **offers** independent agents and **brokers** online **access** to a large and growing **pool** of specialized **products** and services to help address their clients' specific insurance needs. More importantly, agents can access...

---

16/3,K/5 (Item 3 from file: 16)

DIALOG(R)File 16: Gale Group PROMT(R)

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01964265 **Supplier Number: 42512432 (USE FORMAT 7 FOR FULLTEXT)**

**MEETING CHALLENGES**

Financial Services Week , p 22

Nov 11 , 1991

**Language:** English **Record Type:** Fulltext

**Document Type:** Magazine/Journal ; Trade

**Word Count:** 1868

...between all the insurance brokerage houses -- not just the member firms -- and all companies that **offer** insurance **brokerage** **products**.

"That will allow us **not** only to submit risks and get underwriting, but also to have the most close working...

---

16/3,K/6 (Item 1 from file: 20)  
DIALOG(R)File 20: Dialog Global Reporter  
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**13700412 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
UPDATES**

BUSINESS INSURANCE , p 1  
October 23, 2000

**Journal Code: WCBI Language: English Record Type: FULLTEXT**

**Word Count: 1593**

**(USE FORMAT 7 OR 9 FOR FULLTEXT)**

...and brokers. Cover-agefirst.com, a division of Gallagher's wholesaler Risk Placement Services Inc., **offers** independent agents and **brokers** online **access** to a large and growing **pool** of specialized **products** and services to help address their clients' specific insurance needs.... Kemper Insurance Cos.' Financial Insurance...

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16/3,K/7 (Item 2 from file: 20)  
DIALOG(R)File 20: Dialog Global Reporter  
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**13381041 (USE FORMAT 7 OR 9 FOR FULLTEXT)**

**Arthur J. Gallagher & Co. Announces New Coveragefirst Website Launch**

PR NEWSWIRE

October 19, 2000

**Journal Code: WPRW Language: English Record Type: FULLTEXT**

**Word Count: 347**

...other features niche product choices, live customer assistance capabilities and real time insurance news. Coveragefirst **offers** independent agents and **brokers** online **access** to a large and growing **pool** of specialized **products** and services to help address their clients' specific insurance needs. More importantly, agents can access...

---

18/3,K/2 (Item 2 from file: 9)  
DIALOG(R)File 9: Business & Industry(R)  
(c) 2009 Gale/Cengage. All rights reserved.

01245904 Supplier Number: 23878297

**Assailed by Industry, States Overhauling Proposed Guidelines for Bank Brokers**

**( North American Securities Administration Association plans to propose new set of model rules for bank brokerages )**

American Banker , p 12

April 29, 1997

**Document Type:** Journal **ISSN:** 0002-7561 ( United States )

**Language:** English **Record Type:** Abstract

**ABSTRACT:**

...with investment programs conforming to federal regulations at odds with state regulators. For example, the **proposal** would **not** **permit** unisured **brokerage** products to have names "identical or substantially similar to that of the financial institution." The...

---

18/3,K/3 (Item 1 from file: 15)

DIALOG(R)File 15: ABI/Inform(R)

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02130339          68532619

**Chile: Provision of link services for offshore internet-listed securities transactions**

Anonymous

International Financial Law Review v19n12 pp: 60

Dec 2000

**ISSN:** 0262-6969 **Journal Code:** IFL

**Word Count:** 807

**Text:**

...system, and the terms of the coverage.

The authorization to provide these link services does **not** **allow** the Chilean **broker** to make any public **offering** in Chile offoreign securities not listed in the Securities Registry kept by the SVS. Therefore...

---

18/3,K/5 (Item 3 from file: 15)

DIALOG(R)File 15: ABI/Inform(R)

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01559223          02-10212

**Canadian Securities Administrators propose national instrument relating to cross-border registration of dealers**

Holmes, Janet A; Brisson, R Michael

Financial Regulation Report pp: 18-19

Dec 1997

**Journal Code:** FFR

**Word Count:** 1134

**Text:**

...with US persons, there are some indications that relief under SEC Rule 15a-6 may **not** be **granted** to Canadian **broker-dealers** to **permit** them to **offer** the services of the type contemplated in the NASAA Proposal.

Future Actions

The CSA is...

---

18/3,K/6 (Item 4 from file: 15)  
DIALOG(R)File 15: ABI/Inform(R)  
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01447628 00-98615

**Offshore futures brokers enjoy window of opportunity in US**

Sackheim, Michael S  
International Financial Law Review v16n4 pp: 21-24  
Apr 1997  
ISSN: 0262-6969 Journal Code: IFL  
Word Count: 3054

**Abstract:**

...registration and compliance with the federal Commodity Exchange Act. A Part 30 Rules exemption does **not permit** foreign **brokers** to **solicit** US customers for transactions on US futures markets, for which case the broker would have...

**Text:**

...the brokering of 'foreign' futures contracts to US customers. A Part 30 Rules exemption does **not permit** foreign **brokers** to **solicit** US customers for transactions on US futures markets, for which case the broker would have...

---

18/3,K/7 (Item 1 from file: 16)  
DIALOG(R)File 16: Gale Group PROMT(R)  
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06997654 **Supplier Number: 59166710 (USE FORMAT 7 FOR FULLTEXT)**

**Finance America Selects Xpede to Deliver Web-Based Retail and Wholesale Mortgages.**  
PR Newswire , p 1648  
Feb 3 , 2000  
**Language:** English **Record Type:** Fulltext  
**Document Type:** Newswire ; Trade  
**Word Count:** 747

...have built up in their homes.

Using Xpede's private-label solution, Finance America will offer the **broker** community access to a secure web site that will allow **approved** and **non-approved** brokers the ability to price a loan in less than one minute. On the retail

...

---

18/3,K/8 (Item 2 from file: 16)  
DIALOG(R)File 16: Gale Group PROMT(R)  
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04995904 **Supplier Number: 47337418 (USE FORMAT 7 FOR FULLTEXT)**

**Assailed by Industry, States Overhauling Proposed Guidelines for Bank Brokers**  
RATNER, JULIANA  
American Banker , p 12  
April 29 , 1997  
**Language:** English **Record Type:** Fulltext  
**Document Type:** Magazine/Journal ; Trade  
**Word Count:** 504

...regulations for disclosure, bank employee referral fees, and investment product names.

For example, the NASAA proposal would not allow uninsured **brokerage** products to have names "identical or substantially similar to that of the financial institution." The...

---

18/3,K/9 (Item 3 from file: 16)  
DIALOG(R)File 16: Gale Group PROMT(R)  
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04431989 **Supplier Number: 46502308 (USE FORMAT 7 FOR FULLTEXT)**

**Self Defense**  
Bank Investment Marketing , p 034  
July , 1996  
**Language:** English **Record Type:** Fulltext  
**Document Type:** Magazine/Journal ; Trade  
**Word Count:** 1040

...decision to be an employee.

All shops are not created equal. Some bank brokerages will not allow their **brokers** to sell individual securities. Others offer only a minimal variety of mutual funds to their clients or have funds that are...

---

18/3,K/11 (Item 1 from file: 20)  
DIALOG(R)File 20: Dialog Global Reporter  
(c) 2009 Dialog. All rights reserved.

13571026 **(USE FORMAT 7 OR 9 FOR FULLTEXT)**  
**Question Time: E-certificated Broker Required**

INVESTORS CHRONICLE , p 126

October 27, 2000

**Journal Code:** FIC **Language:** English **Record Type:** FULLTEXT

**Word Count:** 228

-  
...trade date plus five days) to T+3, brokers will be even more reluctant to **offer** paper-based dealing. If your current **broker** will **not allow** you to swap, then you should be able to switch brokers for a minimal transfer...

---

18/3,K/12 (Item 2 from file: 20)

DIALOG(R)File 20: Dialog Global Reporter

(c) 2009 Dialog. All rights reserved.

10632750 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**CAT MARKS (FINALLY) OUT OF THE BAG**

EVENING STANDARD

April 14, 2000

**Journal Code:** FES **Language:** English **Record Type:** FULLTEXT

**Word Count:** 373

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...completely flexible mortgages, believes that all mortgages should be transparent and that borrowers should be **offered** a fair deal. 'But by **not allowing** fees to **brokers**,' he says, 'market penetration of Cat standard mortgages will be substantially reduced. This in turn...

---

18/3,K/14 (Item 4 from file: 20)

DIALOG(R)File 20: Dialog Global Reporter

(c) 2009 Dialog. All rights reserved.

06904997 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**Tower targets capital growth**

**Section Title:** BUSINESS

BIRSS Neill

CHRISTCHURCH PRESS , 2 ed , p 32

August 25, 1999

**Journal Code:** WTCP **Language:** English **Record Type:** FULLTEXT

**Word Count:** 875

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...of \$500.

Tower will set up a facility allowing policyholders to sell their allocated shares **without brokerage**, and allowing other

policyholders to buy them.

Timetable:

\*Public **offer** begins on August 30 and closes on September 17.

\*Share registry identification notes mailed to...

---

18/3,K/15 (Item 1 from file: 148)

DIALOG(R)File 148: Gale Group Trade & Industry DB

(c) 2009 Gale/Cengage. All rights reserved.

11761858 **Supplier Number: 57231702 (USE FORMAT 7 OR 9 FOR FULL TEXT )**

**Trench warfare.**

Kim, Theodore

Institutional Investor International Edition , 23 , 6 , 33

June , 1998

ISSN: 0192-5660

**Language:** English

**Record Type:** Fulltext

**Word Count:** 2227 **Line Count:** 00175

...itself locally, taking investments in local currency and managing the investments locally. Polish law did **not allow** foreign **fund managers** to **solicit** business and then take the funds out of the country for management -- standard practices for...

---

18/3,K/16 (Item 2 from file: 148)

DIALOG(R)File 148: Gale Group Trade & Industry DB

(c) 2009 Gale/Cengage. All rights reserved.

11722120 **Supplier Number: 59166710 (USE FORMAT 7 OR 9 FOR FULL TEXT )**

**Finance America Selects Xpede to Deliver Web-Based Retail and Wholesale Mortgages.**

PR Newswire , 1648

Feb 3 , 2000

**Language:** English

**Record Type:** Fulltext

**Word Count:** 811 **Line Count:** 00069

...have built up in their homes.

Using Xpede's private-label solution, Finance America will **offer** the **broker** community **access** to a secure web site that will **allow approved** and **non-approved** brokers the ability to price a loan in less than one minute. On the retail ...

---

18/3,K/17 (Item 3 from file: 148)

DIALOG(R)File 148: Gale Group Trade & Industry DB

(c) 2009 Gale/Cengage. All rights reserved.

09830099    **Supplier Number:** 17729254 (USE FORMAT 7 OR 9 FOR FULL TEXT )  
**Screening the German market.**

Reerink, Jack  
Futures (Cedar Falls, Iowa) , v24 , n10 , p58(3)  
Sep , 1995  
ISSN: 0746-2468  
**Language:** English  
**Record Type:** Fulltext; Abstract  
**Word Count:** 1384    **Line Count:** 00110  
...market.

The exchange recently applied to the CFTC for a part-30 exemption, which will **allow** German **brokers not** registered as U.S. FCMs to **solicit** business in the United States. In addition, the DB is asking the Securities and Exchange...

---

18/3,K/18 (Item 4 from file: 148)  
DIALOG(R)File 148: Gale Group Trade & Industry DB  
(c) 2009 Gale/Cengage. All rights reserved.

09501448    **Supplier Number:** 19356074 (USE FORMAT 7 OR 9 FOR FULL TEXT )  
**Assailed by industry, states overhauling proposed guidelines for bank brokers.(Brief Article)**

Ratner, Juliana  
American Banker , v162 , n81 , p12(1)  
April 29 , 1997  
**Document Type:** Brief Article  
ISSN: 0002-7561  
**Language:** English  
**Record Type:** Fulltext  
**Word Count:** 543    **Line Count:** 00047

...for disclosure, bank employee re ferral fees, and investment product names.

For example, the NASAA **proposal** would **not allow** uninsured **brokerage** products to have names "identical or substantially similar to that of the financial institution." The...

---

18/3,K/19 (Item 5 from file: 148)  
DIALOG(R)File 148: Gale Group Trade & Industry DB  
(c) 2009 Gale/Cengage. All rights reserved.

08770622    **Supplier Number:** 18396790 (USE FORMAT 7 OR 9 FOR FULL TEXT )  
**Financial services: a ship in the sea of change. (for certified public accountants)**

Nisberg, Jay N.  
Accounting Today , v10 , n10 , p38(3)

June 3 , 1996

ISSN: 1044-5714

Language: English

Record Type: Fulltext

Word Count: 1536 Line Count: 00129

...relevant AICPA rules (in particular, Sec. 503C) that now permit CPAs to be compensated for **offering** financial services, several states still do **not permit** such activities. A **broker-dealer** should be able to provide tangible evidence that they have done their homework in ...

---

18/3,K/20 (Item 6 from file: 148)

DIALOG(R)File 148: Gale Group Trade & Industry DB

(c) 2009 Gale/Cengage. All rights reserved.

06515784 Supplier Number: 13699128 (USE FORMAT 7 OR 9 FOR FULL TEXT )

**Nymex's bid not sweeter; Comex could perceive similarities as inequity. (New York Mercantile Exchange, Commodity Exchange)**

Caney, Derek J.

American Metal Market , v101 , n82 , p1(2)

April 29 , 1993

ISSN: 0002-9998

Language: ENGLISH

Record Type: FULLTEXT; ABSTRACT

Word Count: 538 Line Count: 00040

**Abstract:** ...floor members turned down a similar proposal from the Chicago Board of Trade. Nymex's **proposal will not allow** external **brokerage** companies and commission firms to place orders with Nymex, but it will allow its members...

**Abstract:**

---

18/3,K/21 (Item 7 from file: 148)

DIALOG(R)File 148: Gale Group Trade & Industry DB

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05786237 Supplier Number: 12012047 (USE FORMAT 7 OR 9 FOR FULL TEXT )

**BILL NOT TO ALLOW BANKS TO OFFER BROKERAGE SERVICES**

Kyodo , 03070019

March 7 , 1992

Language: ENGLISH

Record Type: FULLTEXT

Word Count: 263 Line Count: 00021

**BILL NOT TO ALLOW BANKS TO OFFER BROKERAGE SERVICES**

**Text:**

BILL NOT TO ALLOW BANKS TO OFFER BROKERAGE SERVICES

...FINANCIAL SYSTEM REFORM BILL TO BE SUBMITTED TO THE CURRENT DEBATES AT THE DIET DOES **NOT AUTHORIZE** BANKS TO **OFFER** **BROKERAGE** SERVICES THROUGH THEIR SUBSIDIARIES, GOVERNMENT OFFICIALS SAID SATURDAY.

THE LEGISLATIVE CHANGE IN THE SECURITIES AND...  
...THE FINANCE MINISTER IS REQUESTED TO USE LEGISLATIVE OR OTHER MEANS SO THAT BANKS ARE **NOT AUTHORIZED** TO **OFFER** SECURITIES **BROKERAGE** SERVICES, THAT IS THE SECONDARY MARKET, ACCORDING TO THE OFFICIALS.

"THE SECONDARY MARKET, IN WHICH...

---

18/3,K/25 (Item 1 from file: 635)  
DIALOG(R)File 635: Business Dateline(R)  
(c) 2009 ProQuest Info&Learning. All rights reserved.

0933527 98-95066

**Dutch firm acquires Security Brokerage sells out in undisclosed deal**

Svaldi, Aldo  
Denver Business Journal ( Denver , CO , US ), V 49 N 35 p 3.A  
**Publication Date:** 980501  
**Word Count:** 598  
**Dateline:** Denver, CO, US, Mountain

**Text:**

...pushing in-house products.

He helped pioneer and promote fee-based asset management programs that allow **brokers** to offer no-load mutual funds without charging commissions.

Multi-Financial has \$350 million in assets under management...

---

18/3,K/26 (Item 2 from file: 635)  
DIALOG(R)File 635: Business Dateline(R)  
(c) 2009 ProQuest Info&Learning. All rights reserved.

0856846 98-17204

**SPOTLIGHT ON GEORGIA STOCKS** Cottoning to the rural South The region provides the essential fiber for Cotton States Life Insurance, which serves a niche that larger firms often neglect.

Luke, Robert  
Atlanta Constitution ( Atlanta , GA , US ) p C.02  
**Publication Date:** 971008  
**Word Count:** 686  
**Dateline:** Atlanta, GA, US, South Atlantic

**Text:**

...year. Howard thinks they can account for 30 percent or more in the future.

The **brokerage** units not only allow Cotton States' agents to **offer** customers one-stop shopping for their insurance needs, they also permit the company to find...

---

18/3,K/27 (Item 3 from file: 635)  
DIALOG(R)File 635: Business Dateline(R)  
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0595045 95-51148

**Brothers divided: After long, private war, Roger and Donald Saunders prepare for 'divorce.'**  
**Ownership of Park Plaza Hotel, other family holdings are up in the air**

Bailey, Steve  
Boston Globe ( Boston , MA , US ) s 1 p 47  
**Publication Date:** 950425  
**Word Count:** 2,031  
**Dateline:** Boston, MA, US

**Text:**

...who represents Roger Saunders, and Joel A. Kozol, who represents Donald wrote, "At this time, **no broker is authorized to offer** any of these properties for sale."

Acknowledging the bitterness in the court filings, the statement...

---

18/3,K/28 (Item 1 from file: 636)  
DIALOG(R)File 636: Gale Group Newsletter DB(TM)  
(c) 2009 Gale/Cengage. All rights reserved.

01285810 **Supplier Number:** 41428364 (USE FORMAT 7 FOR FULLTEXT)

**BRIEF DEAL: ICCH SELLS ATS/2 TO TOKYO**

Dealing With Technology , v 2 , n 13 , p N/A  
July 6 , 1990

**Language:** English **Record Type:** Fulltext  
**Document Type:** Magazine/Journal ; Trade

Word Count: 126

...Exchange Act, which would allow trading in commodity options and indices. It has also been **proposed** to **allow non**-Japanese **brokers** to become Futures Commission Merchants. The **proposals** could become law by early 1991.

ATS/2 runs on a central DEC VAX system...

#### IV. Text Search Results from Dialog

##### A. Abstract Databases

? show files

File 344:Chinese Patents Abs Jan 1985-2006/Jan  
(c) 2006 European Patent Office  
File 347:JAPIO Dec 1976-2009/Jan(Updated 090503)  
(c) 2009 JPO & JAPIO  
File 350:Derwent WPIX 1963-2009/UD=200932  
(c) 2009 Thomson Reuters  
File 35:DISSERTATION ABS ONLINE 1861-2009/APR  
(c) 2009 PROQUEST INFO&LEARNING  
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13  
(c) 2002 Gale/Cengage  
File 65:Inside Conferences 1993-2009/May 26  
(c) 2009 BLDSC all rts. reserv.  
File 2:INSPEC 1898-2009/May W3  
(c) 2009 The IET  
File 144:Pascal 1973-2009/May W4  
(c) 2009 INIST/CNRS  
File 474:New York Times Abs 1969-2009/May 22  
(c) 2009 The New York Times  
File 475:Wall Street Journal Abs 1973-2009/May 18  
(c) 2009 The New York Times  
File 99:Wilson Appl. Sci & Tech Abs 1983-2009/Apr  
(c) 2009 The HW Wilson Co.

? ds

Set	Items	Description
S1	1322	(BROKERAGE? ? OR FUND()MANAGER? ? OR BROKER OR BROKERS OR - CUSTODIAN? ?)(3N)(ACCESS? OR GRANT??? OR PERMIT??? OR ALLOW OR ALLOW OR ALLOWING OR ALLOWANCE OR AUTHO? OR PERMISSION OR PRIVILEGE?)
S2	91	S1(7N)(BID OR BIDS OR BIDDING OR OFFER??? OR TENDER? ? OR - PROPOS? OR SOLICIT???)
S3	113021	(GROUP OR MIX OR BLOCK OR BLOC OR POOL OR CLUSTER??? OR LIST??? OR COMBINATION? ?)(3N)(MERCHANDI? OR GOODS OR WARES OR - ITEM? ? OR PRODUCT? ? OR ARTICLE? ? OR THING? ? OR OBJECT? ? - OR COMMODIT???)
S4	260422	("NOT" OR NON OR NO OR WITHOUT OR WITH()OUT OR LACK??? OR EXCLUD??? OR OMIT??? OR PREVENT?)(3N)(ACCESS? OR GRANT??? OR PERMIT??? OR ALLOW OR ALLOW OR ALLOWING OR ALLOWANCE OR AUTHO? OR PERMISSION OR PRIVILEGE?)
S5	67345	(BID OR BIDS OR BIDDING OR OFFER??? OR TENDER? ? OR PROPOS? OR SOLICIT???) (3N) (MERCHANDI? OR GOODS OR WARES OR ITEM? ?

OR PRODUCT? ? OR ARTICLE? ? OR THING? ? OR OBJECT? ? OR COMMO-  
DIT???)

S6 265726 ("NOT" OR NON OR NO OR WITHOUT OR WITH()OUT OR LACK??? OR  
EXCLUD??? OR OMITT??? OR PREVENT?) (3N) (ENTITLED OR ALLOW? OR -  
AUTHORIZE? OR ENABLE OR PERMIT OR GRANT? OR QUALIFIED OR APPR-  
OVED OR ENABLE? ? OR LICENSE? ?)

S7 4503 AU=(WIESEHUEGEL,L? OR WIESEHUEGEL L? OR WIESEHUEGEL(2N)L? -  
OR ROBERTS,R? OR ROBERTS R? OR ROBERTS(2N)R? OR MORRISON,W? -  
OR MORRISON W? OR MORRISON(2N)W? OR RZEPKA,J? OR RZEPKA J? OR  
RZEPKA(2N)J?)

S8 0 S7 AND S1

S9 4 S7 AND BROKER? ?

S10 0 S2 AND S3

S11 4 S2 AND S4

S12 3 S2 AND S5

S13 2 S2 AND S6

S14 73 S2 AND BROKER? ?

S15 40 S14 NOT PY>2000

S16 11 S9 OR S11 OR S12 OR S13

S17 2 S16 NOT PY>2000

?

17/3,K/2 (Item 1 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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06480153  
**Naznachena data suda**

RUSSIA: APPEAL AGAINST SIBNEFT SHARE DEAL  
Kommersant-Daily ( XFL ) 10 Jun 1997 p.11  
**Language: RUSSIAN**

...share of Sibneft oil company. The appeal to court was made by the KM Invest **brokerage**, which was **not permitted** to participate in the **tender** for buying the Sibneft stock. KM Invest blames the Russian federal property fund, bank SBS...

**t s15/3,k/all**

15/3,K/1 (Item 1 from file: 35)  
DIALOG(R)File 35: DISSERTATION ABS ONLINE  
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01577494 ORDER NO: AADNN-17743  
**LA PLANIFICATION DES OPERATIONS EN RESEAUX MANUFACTURIERS  
SYMBIOTIQUES (FRENCH TEXT, SYMBIOTIC, MANUFACTURING NETWORKS, MAKE  
TO ORDER PRODUCTION, LARGE SERIES PRODUCTION, BROKER FIRM)**

**Author: D'AMOURS, SOPHIE**  
**Degree: PH.D.**  
**Year: 1995**

**Corporate Source/Institution:** ECOLE POLYTECHNIQUE, MONTREAL (CANADA) ( 1105 )

**Source:** Volume 5805B of Dissertations Abstracts International.

PAGE 2608 . 326 PAGES

ISBN: 0-612-17743-2

**...RESEAUX MANUFACTURIERS SYMBIOTIQUES (FRENCH TEXT, SYMBIOTIC, MANUFACTURING NETWORKS, MAKE TO ORDER PRODUCTION, LARGE SERIES PRODUCTION, BROKER FIRM)**

...the dynamic of overlaid autonomous networks.

We studied optimizing the price-time tradeoff when a broker firm wants to orchestrate the nodes and links of its network to realize a production ... a single product monolithic order, we present a general scheduling and planning model helping the broker firm in its decision process for orchestrating its network. We show how complex trade-offs... dealing with capacity.

Information can minimize total cost of an order. We show that a broker firm favoring a high level of information exchange through its network will perform better in minimizing its total cost for an order, as compared with a broker firm favoring standard information exchange. We discuss trade-offs between the level of information exchanged... since firms need to engage themselves on a longer term. To manage this situation, we propose bids that permit the broker firm to sign long, mid and short term contracts with its partners. These bids contain... in function of the length of the contracts. To sign such contracts implies for the broker firm financial engagements throughout the term of the signed contract. (Abstract shortened by UMI.)

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15/3,K/3 (Item 2 from file: 583)

DIALOG(R)File 583: Gale Group Globalbase(TM)

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09371674

**GE Frankona Re Launches Broker Version of RIO**

EUROPE: GE FRANKONA LAUNCHES RIO

Press Release (US) ( PRS ) 21 Sep 2000 p.e

Language: ENGLISH

**GE Frankona Re Launches Broker Version of RIO**

GE Frankona Re, Munich, has launched RIO for **Brokers**, a new web-enabled reinsurance tool for **brokers** in Europe. RIO <Reinsurance Online> for the direct market was launched in January 2000. RIO for **Brokers** is tailored to intermediary needs and was programmed with active input from long standing **broker** clients of GE Frankona Re. The electronic commerce program provides **brokers** with access to standardized reinsurance **offers**.

---

15/3,K/4 (Item 3 from file: 583)

DIALOG(R)File 583: Gale Group Globalbase(TM)

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09136298

**Consumers get a raw deal from brokers**

NETHERLANDS: POOR INSURANCE ADVICE CONTINUES

Hfd Online ( R ) 23 Jul 1999 p.1

**Language:** ENGLISH

**Consumers get a raw deal from brokers**

A report published by the Dutch consumer association, Consumentbond says that insurance **brokers** in the Netherlands are continuing to give poor advice. Whilst the sector has no independent... ..level of quality is upheld. The government advisory body, SER will now require all new **brokers** to obtain a certificate of good character from their local authority. **Brokers'** expertise will also be monitored with those performing poorly being required to take more education... ..industry and the government. In 2000 new rules for insurance will be brought in which **allow brokers** to **offer** gifts to entice consumers to take their policies. In addition the European Commission is currently drafting a directive on insurance **brokers** which is expected to be unveiled by the end of 1999. \*

---

15/3,K/5 (Item 4 from file: 583)

DIALOG(R)File 583: Gale Group Globalbase(TM)

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09092675

**Banking loophole**

US: HOLDING COMPANY FOR MARSH & MCLENNAN

Post Magazine ( PM ) 15 Apr 1999 p.11

**Language:** ENGLISH

...savings and loans holding company is being set up by Marsh & McLennan, the leading insurance **broker**, to try and avoid tight US rules on banking and insurance. The new company will **allow** the **broker** to **offer** both types of financial service. \*

**Product:** Savings Account Services Retained Earnings & Savings Money Supply Insurance Agents & **Brokers**

---

15/3,K/6 (Item 5 from file: 583)

DIALOG(R)File 583: Gale Group Globalbase(TM)

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09051200

**SFC to offer security guidance ahead of regulatory bill**

HONG KONG: INTERNET STOCK TRADING TO GET POPULAR

South China Morning Post ( XKT ) 28 Jan 1999 p.b3

**Language:** ENGLISH

...its system to Automated Order Matching and Execution System in mid-2000. The system will **allow** 500 stock **brokers** to **offer** Internet trading, up from current 3. The Securities and Futures Commission also plans to issue guidelines for **brokers** on Internet stock trading. The guidelines stresses the importance of information security and reliable computer...

---

15/3,K/7 (Item 6 from file: 583)

DIALOG(R)File 583: Gale Group Globalbase(TM)

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09023559

**New system lets brokerages offer online service**

HONG KONG: ONLINE STOCK TRADING AFTER 2000

South China Morning Post ( XKT ) 26 Nov 1998 p.b2

**Language:** ENGLISH

...stock exchange will set up a new automatic system in 2000. The new system will **allow brokerages** to **offer** online trading service. Boom Securities HK urged traditional brokerages to strengthen their co-operation with online **brokers** as they could help execution of orders as being stock exchange members.  
\*

---

15/3,K/8 (Item 7 from file: 583)

DIALOG(R)File 583: Gale Group Globalbase(TM)

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06414173

**Brokers gear up to offer investment banking services**

HUNGARY: INVESTMENT BANKING MOVE BY **BROKERS**

The Budapest Sun ( XJG ) 19 Dec 1996-08 Jan 1997 p.A7

**Language:** ENGLISH

**Brokers gear up to offer investment banking services**

HUNGARY: INVESTMENT BANKING MOVE BY **BROKERS**

...This follows the coming into force of new regulations at the beginning of 1997 that **allow brokerages** and commercial banks to **offer** investment banking services. In order to provide such services, however, the brokerages need to have...

---

15/3,K/9 (Item 8 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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06318946

**J&H buys P&I broker**

UK: PSA OPERATION ACQUIRED BY J&H

Lloyd's List ( LL ) 04 Jun 1996 p. S12

**Language:** ENGLISH

**J&H buys P&I broker**

Peter Smart Associates (Insurance **Brokers**) has been purchased by Johnson & Higgins Holdings (J&H) in a deal which the buyer believes will enhance the service offered to clients from the point of view of synergy. **Broker** J&H, which is based in London, UK, will boost its marine market share considerably...  
...the purchase for an undisclosed sum of this top international protection and indemnity (P&I) **broker**, allowing it to offer third party liability and casualty services. PSA will become an independent division of the buyer...

**Company:** JOHNSON & HIGGINS HOLDINGS; PETER SMART ASSOCIATES (INSURANCE **BROKERS**)

**Product:** Insurance Agents & **Brokers**

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15/3,K/10 (Item 9 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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06048114

**Worldwide communications network unveiled for brokers**

WORLD: LLOYD'S/IBM REVEAL **BROKER** NETWORK

Lloyd's List ( LL ) 20 Sep 1994 p.1

**Language:** ENGLISH

**Worldwide communications network unveiled for brokers**

WORLD: LLOYD'S/IBM REVEAL **BROKER** NETWORK

In partnership with IBM, Lloyd's has revealed Lloyd's **Broker** Gateway - a worldwide communications network offering **brokers** access to Limnet - the London Insurance Market Network - from any location in the world. A standard...

---

15/3,K/11 (Item 10 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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05985413

**Eclipse opens bloodstock account**

UK: ECLIPSE DEVELOPS BLOODSTOCK ACCOUNT

Lloyd's List ( LL ) 11 May 1994 p. 18

**Language:** ENGLISH

...represents the first Lloyd's equestrian insurance produce to be offered directly via High Street **brokers**. The decision by Syndicate 913 to market Eclipse Classic Cover in this manner is a reflection of the fresh impetus in the Lloyd's market to enhance its **accessibility** to UK insurance **brokers**. Eclipse Classic Cover **offers** a so-called one stop shop product, covering tractor and car, trailer or horsebox and...

**Product:** Private Motor Insurance Insurance Agents & **Brokers**

---

15/3,K/12 (Item 11 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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05086226

**SEC Proposes Plan to Simplify Mutual Funds**

US - SEC UNVEILS PLANS FOR MUTUAL FUND CHANGES

International Herald Tribune ( IHT ) 22 May 1992 p13

...cheaper and easier. They include allowing for mutual fund purchases without first needing a sales **offering** or prospectus; **allowing** investors and **brokers** to negotiate commissions; simplifying the fees charges by funds; requiring fund managers to provide more...

---

15/3,K/13 (Item 12 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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04998278

**Very briefly: The Shenzhen stock exchange**

CHINA - SHENZHEN EXCHANGE TO OFFER SEATS TO FOREIGN **BROKERS**

International Herald Tribune ( IHT ) 8 April 1992 p15

CHINA - SHENZHEN EXCHANGE TO OFFER SEATS TO FOREIGN **BROKERS**

China: The Shenzhen stock exchange has plans to **offer** seats to foreign **brokers**, thereby **allowing** the latter to trade 'B' shares which have been allocated for foreigners, according to the...

---

15/3,K/14 (Item 13 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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04606235

**Drwaing up the battle lines for regulatory control**

UK - CONGRESS PROPOSALS FOR SECURITIES MARKET REFORMS EXAMINED  
Financial Times (C) 1991 ( FT ) 30 October 1991 p32

...primary dealers. The most radical element in a package of reforms is the decision to **allow** all **brokers** to **bid** for newly-issued securities on behalf of customers, and not just the 39 big broking...

---

15/3,K/15 (Item 14 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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04380692

**French put EC broker plans in jeopardy**

EEC - FRANCE AIMS TO PROTECT ITS BROKERAGE SECTOR  
Daily Telegraph ( DT ) 9 July 1991 p18  
**French put EC broker plans in jeopardy**

France is leading a group of EEC states to protect its **brokers** from plans which would **allow** the **brokers** of member states to **offer** services throughout the EEC. John Redwood, minister for corporate affairs, stated that this could mean...

---

15/3,K/16 (Item 15 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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04232570

**INCREASING INSURANCE AGAINST TERRORISM AND SABOTAGE**

UK - INCREASING INSURANCE AGAINST TERRORISM AND SABOTAGE

Insurance Age ( INA ) 0 April 1991 p28  
ISSN: 0142-6265

Underwriters and **brokers** are now being **permitted** by Lloyd's of London to **offer** insurance cover against sabotage and terrorism. This is the first time that such a move... ..that the move will boost profit for Lloyd's, and a group of LLOYD's **brokers** has already formed a specific facility intended for the oil industry. This gives insurance cover...

**Product:** Insurance Property & Liability Insurance Marine Insurance Lloyd's **Brokers**

---

15/3,K/17 (Item 16 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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03656006

#### **PAPERLESS TRADING FINDS OBSTACLES**

JAPAN - PAPERLESS TRADING FINDS OBSTACLES  
The Banker ( TB ) 0 August 1990 p16,18  
ISSN: 0005-5395

...Depository Center (Jasdec) is being held up lack of information about the system. The system **offers** automated banking with **access** facilities for both **brokers** and **bankers**. However, the Japan Securities Clearing Corporation is continuing with paper-based trading, providing...

---

15/3,K/18 (Item 17 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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03062245

#### **MARINE MARKET AFFECTED BY 'MALIGNANT CANCER'**

UK - MARINE MARKET AFFECTED BY 'MALIGNANT CANCER'  
Post Magazine ( PM ) 23 November 1989 p5  
ISSN: 0032-5252

...than individual underwriters, as it is they who have 'shown indiscretion'. T Scutts made several **proposals** to alleviate this problem, including **allowing** the **broker** to fix the brokerage level and fix the fee with the client. He also added...

---

15/3,K/19 (Item 18 from file: 583)  
DIALOG(R)File 583: Gale Group Globalbase(TM)  
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02614372

**IDS WINS FIDESSA ORDER FROM ALLIED PROVINCIAL SECURITIES**

UK - IDS WINS FIDESSA ORDER FROM ALLIED PROVINCIAL SECURITIES

Dealing Technology Bulletin ( DTB ) 0 April 1989 p6

...Intercom Data Systems (IDS) for the installation of FIDESSA software systems. The FIDESSA system will **offer** limit-minding **allowing** APS **brokers** the facility for automatic submission of orders for execution. The system will also link agency...

---

15/3,K/20 (Item 19 from file: 583)

DIALOG(R)File 583: Gale Group Globalbase(TM)

(c) 2002 Gale/Cengage. All rights reserved.

01638099

**SUN ALLIANCE OFFERS COMPUTER ACCESS FOR QUICKER MORTGAGES**

UK - SUN ALLIANCE OFFERS COMPUTER ACCESS FOR QUICKER MORTGAGES

Post Magazine ( PM ) 14 January 1988 p3

ISSN: 0032-5252

Sun Alliance is **offering brokers access** to its main frame computer via PCs in an effort to speed up mortgage applications...

**Product:** Mortgage Bankers & Brokers

---

15/3,K/21 (Item 1 from file: 2)

DIALOG(R)File 2: INSPEC

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07005017

**Title:** An approach to electronic brokerage in TINA environments

**Author(s):** Asensio, J.I.; Villagra, V.A.; Moreno, J.I.; Berrocal, J.

**Author Affiliation:** Dept. of Telematic Syst. Eng., Tech. Univ. of Madrid, Spain

**Book Title:** Intelligence in Services and Networks: Technology for Ubiquitous Telecom Services. 5th International Conference on Intelligence in Services and Networks, IS&N'98 Proceedings

**Inclusive Page Numbers:** 339-50

**Publisher:** Springer-Verlag, Berlin

**Country of Publication:** Germany

**Publication Date:** 1998

**Conference Title:** Intelligence in Services and Networks: Technology for Ubiquitous Telecom Services. 5th International Conference on Intelligence in Services and Networks, IS&N'98 Proceedings

**Conference Date:** 25-28 May 1998

**Conference Location:** Antwerp, Belgium

**Editor(s):** Trigila, S.; Mullery, A.; Campolargo, M. ; Vanderstraeten, H.; Mampaey, M.

**ISBN:** 3 540 64598 5

**Number of Pages:** xii+550

**Language:** English

**Subfile(s):** B (Electrical & Electronic Engineering); C (Computing & Control Engineering); E (Mechanical & Production Engineering)

**INSPEC Update Issue:** 1998-033

**Copyright:** 1998, IEE

**Abstract:** ...providers in a multi-service environment. This new service supported by the so-called "Electronic Brokers", will allow service providers to publish and advertise their offers and, at the same time, will help end-users to access the offered services and...

---

15/3,K/22 (Item 2 from file: 2)

DIALOG(R)File 2: INSPEC

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06889828

**Title:** Application of TINA-C computing and service architecture concepts to the development of an advanced information brokerage service in the context of EC

**Author(s):** Asensio, J.I.; Moreno, J.I.; Villagra, V.A.; Redondo, J.; Nolle, A.; Tothezan, I.; Karetos, G.T.

**Author Affiliation:** Dept. of Telematic Syst. Eng., Tech. Univ. of Madrid, Spain

**Book Title:** Proceedings TINA '97 - Global Convergence of Telecommunications and Distributed Object Computing (Cat. No.97TB100218)

**Inclusive Page Numbers:** 87-96

**Publisher:** IEEE Comput. Soc, Los Alamitos, CA

**Country of Publication:** USA

**Publication Date:** 1998

**Conference Title:** Proceedings TINA '97 - Global Convergence of Telecommunications and Distributed Object Computing

**Conference Date:** 17-20 Nov. 1997

**Conference Location:** Santiago, Chile

**Conference Sponsor:** IEEE Commun. Soc. Presidency of the Republic of Chile IEICE Japan Object Manage. Group (OMG) Chilean Comput. Soc

**ISBN:** 0 8186 8335 X

**U.S. Copyright Clearance Center Code:** 0 8186 8335 X/98/\$10.00

**Item Identifier (DOI):** [10.1109/TINA.1997.660713](https://doi.org/10.1109/TINA.1997.660713)

**Number of Pages:** xii+374

**Language:** English

**Subfile(s):** B (Electrical & Electronic Engineering); C (Computing & Control Engineering)

**INSPEC Update Issue:** 1998-015

**Copyright:** 1998, IEE

**Abstract:** ...demand in an "electronic marketplace" environment. This new service supported by the so-called "electronic brokers", will allow service providers to publish and advertise their offers and, at the same time, will help end users to access the offered services and...

**Identifiers:** ...service architecture concepts; advanced information brokerage service; EC; electronic brokerage; information technologies; electronic marketplace; electronic **brokers**; service providers; ABS; Architecture for Information Brokerage Service; ACTS European project; service architecture; OMG EC...

---

15/3,K/23 (Item 1 from file: 144)

DIALOG(R)File 144: Pascal

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14451720 PASCAL No.: 00-0110702

Is an online discount **broker** right for you?

MACK G S; CASSORLA E

Journal: Journal of the American Optometric Association

, 2000, 71 (1

) 59-62

Language: English

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Is an online discount **broker** right for you?

... if you're not doing so already. But how can you distinguish between the many **brokerage** choices? These **authors offer** their insight into finding the best online **broker** at the most reasonable cost.

15/3,K/25 (Item 3 from file: 144)

DIALOG(R)File 144: Pascal

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13822256 PASCAL No.: 98-0538689

An approach to electronic brokerage in TINA environments

IS&N '98 : intelligence in services and networks : technology for ubiquitous telecom services : Antwerp, 25-29 May 1998

ASENSIO J I; VILLAGRA V A; MORENO J I; BERROCAL J

TRIGILA Sebastiano, ed; MULLERY Al, ed; CAMPOLARGO Mario, ed;

VANDERSTRAETEN Hans, ed; MAMPAEY Macel, ed

Department of Telematic Systems Engineering, Technical University of Madrid, Spain; ETSI, Telecomunicacion, Ciudad Universitaria s/n, 28040 Madrid, Spain

International conference on intelligence in services and networks, 5 (Antwerp BEL) 1998-05-25

Journal: Lecture notes in computer science, 1998, 1430 339-350

Language: English

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... providers in a multi-service environment. This new service supported by the so-called "Electronic **Brokers** , will allow service providers to publish and advertise their **offers** and, at the same

time, will help end-users to access the offered services and...

---

15/3,K/27 (Item 2 from file: 474)

DIALOG(R)File 474: New York Times Abs

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04534754 NYT Sequence Number: 995827850917

**(Securities and Exchange Commission, in move to lighten its paperwork, decides that mutual funds no longer need prior approval from agency to alter fees brokers get for selling funds' shares; stops short of allowing brokers themselves to cut their commissions in bid for more business (M))**

NASH, NATHANIEL C

New York Times , Col. 1 , Pg. 1 , Sec. 4

Friday February 22 1985

**...paperwork, decides that mutual funds no longer need prior approval from agency to alter fees brokers get for selling funds' shares; stops short of allowing brokers themselves to cut their commissions in bid for more business (M))**

**Descriptors: STOCKS AND BONDS; BUREAUCRATIC RED TAPE; BROKERS AND BROKERAGE FIRMS ; MUTUAL FUNDS**

**Personal Names:**

---

15/3,K/28 (Item 3 from file: 474)

DIALOG(R)File 474: New York Times Abs

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00718091 NYT Sequence Number: 078927760827

**(SEC rejects proposed rule changes by NYSE affecting foreign membership and membership by bank subsidiaries. Holds that changes appear to be anticompetitive and against Cong's intent. Proposed rule 309 would have barred foreign-owned brokers from exch membership unless US brokers were given same privilege in foreign co's home country. Proposed Rule 310 would prohibit exch membership to brokers controlled by commercial banks (S).)**

Reuters

New York Times , Col. 3 , Pg. 4 , Sec. 4

Friday August 27 1976

**...be anticompetitive and against Cong's intent. Proposed rule 309 would have barred foreign-owned brokers from exch membership unless US brokers were given same privilege in foreign co's home country. Proposed Rule 310 would prohibit exch membership to brokers controlled by commercial banks (S).)**

**Descriptors: ...EXCHANGE REGULATIONS; STOCKS AND BONDS; ANTITRUST ACTIONS AND LAWS; ANTITRUST LAW; PRICE-FIXING; PRICE FIXING; BROKERS AND BROKERAGE FIRMS; BROKERAGE OFFICES AND PERSONNEL; FOREIGN INVESTMENTS; FOREIGN INVESTMENTS IN US**

**Personal Names:**

---

15/3,K/29 (Item 4 from file: 474)  
DIALOG(R)File 474: New York Times Abs  
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00308679 NYT Sequence Number: 073249720322

**(NYSE to develop amendments to exch const that will abolish its ban on inst membership in line with SEC proposal to permit those inst brokerage co affiliates that do predominant portion of their business with nonaffiliates to join stock exch; will also eliminate const provision stipulating that no co can be member unless its parent or corp owner is also primarily broker or dealer in securities)**

New York Times , Col. 8 , Pg. 63  
Wednesday March 22 1972

**...to exch const that will abolish its ban on inst membership in line with SEC proposal to permit those inst brokerage co affiliates that do predominant portion of their business with nonaffiliates to join stock exch... ...that no co can be member unless its parent or corp owner is also primarily broker or dealer in securities)**

---

15/3,K/30 (Item 5 from file: 474)  
DIALOG(R)File 474: New York Times Abs  
(c) 2009 The New York Times. All rights reserved.

00307444 NYT Sequence Number: 072014720203

**(SEC, in policy statement on future of securities indus, proposes that brokers be permitted to be exch members if brokers do more than half of their business with individuals or orgns with which they are not affiliated; says it will formally request all stock exchs to adopt new rules restricting membership to brokers that do more than 1/2 of their business with public and, if any oppose recommendation, it will weigh taking action on its own or asking Cong for legis; Comr Owens says he feels that any broker affiliated with inst should be prohibited from doing any business with affiliate; Investors Diversified Services sr vp Loeffler and Jefferies & Co, an IDS subsidiary, call upon exch to immediately implement comm recommendation)**

New York Times , Col. 3 , Pg. 53  
Thursday February 3 1972

**(SEC, in policy statement on future of securities indus, proposes that brokers be permitted to be exch members if brokers do more than half of their business with individuals or orgns with which they are... ...says it will formally request all stock exchs to adopt new rules restricting membership to brokers that do more than 1/2 of their business with public and, if any oppose... ...on its own or asking Cong for legis; Comr Owens says he feels that any broker affiliated with inst should be prohibited from doing any business with affiliate; Investors Diversified Services...**

---

15/3,K/31 (Item 6 from file: 474)  
DIALOG(R)File 474: New York Times Abs  
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00113132 NYT Sequence Number: 038727700307

**(SEC proposes to allow brokers and dealers to keep records on microfilm instead of paper)**

Associated Press

New York Times , Col. 6 , Pg. 49

Saturday March 7 1970

**(SEC proposes to allow brokers and dealers to keep records on microfilm instead of paper)**

---

15/3,K/32 (Item 1 from file: 475)

DIALOG(R)File 475: Wall Street Journal Abs

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08038212 NYT Sequence Number: 000000991018

**MORGAN STANLEY DEAN WITTER TO ALLOW ITS BROKERS TO OFFER ONLINE TRADING**

GASPARINO, CHARLES

Wall Street Journal , Col. 3 , Pg. 4 , Sec. A

Monday October 18 1999

**MORGAN STANLEY DEAN WITTER TO ALLOW ITS BROKERS TO OFFER ONLINE TRADING**

**Abstract:**

Morgan Stanley Dean Witter & Co plans to revamp on-line trading services, enabling brokers to offer online trading to their customers (M)

**Descriptors: BROKERS AND BROKERAGE FIRMS; COMPUTERS AND THE INTERNET**

**Personal Names:**

---

15/3,K/33 (Item 2 from file: 475)

DIALOG(R)File 475: Wall Street Journal Abs

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08003853 NYT Sequence Number: 000000981203

**MASSACHUSETTS NEARS PACT IN IPO PROBE**

SICONOLFI, MICHAEL

Wall Street Journal , Col. 6 , Pg. 1 , Sec. C

Thursday December 3 1998

**Abstract:**

...Charles & Associates Inc (Boca Raton, Fla) to force brokerage to abandon its policy of punishing brokers who allow clients to 'flip' initial public offering shares (M)

---

15/3,K/34 (Item 3 from file: 475)

DIALOG(R)File 475: Wall Street Journal Abs

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07989934 NYT Sequence Number: 000000980731

**WALL STREET BOOSTS PENALTY ON IPO 'FLIPS'**

SICONOLFI, MICHAEL  
Wall Street Journal , Col. 6 , Pg. 1 , Sec. C  
Friday July 31 1998

**Abstract:**

Some big securities firms have stepped up use of 'penalty bids' to punish **brokers** who **allow** their retail clients to 'flip,' or quickly cash out of, shares acquired in initial public...

---

15/3,K/35 (Item 4 from file: 475)  
DIALOG(R)File 475: Wall Street Journal Abs  
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07986281 NYT Sequence Number: 000000980626  
**WALL STREET BROKERS PRESS SMALL INVESTORS TO HOLD IPO SHARES**  
Siconolfi, Michael; Siconolfi, Michael  
Wall Street Journal , Col. 6 , Pg. 1 , Sec. A  
Friday June 26 1998  
**WALL STREET BROKERS PRESS SMALL INVESTORS TO HOLD IPO SHARES**

**Abstract:**

...hold on to IPOs, often for as long as three months; discourage flipping through 'penalty bids,' punishment meted out to brokers who allow their individual investors to cash out quickly; securities firms worry flipping can destabilize new stock...

---

15/3,K/36 (Item 5 from file: 475)  
DIALOG(R)File 475: Wall Street Journal Abs  
(c) 2009 The New York Times. All rights reserved.

07946017 NYT Sequence Number: 000000970714  
**PARTIAL IMMUNITY FOR BROKERAGE FIRMS ON JOB REFERENCES IS NEARING REALITY**  
Beckett, Paul  
Wall Street Journal , Col. 5 , Pg. 4D , Sec. B  
Monday July 14 1997

**Abstract:**

...Association of Securities Dealers nears agreement with securities industry officials and other regulators on a **proposal** to **grant brokerage** firms partial immunity from lawsuits stemming from job references they provide when a **broker** leaves (M)

**Descriptors: BROKERS AND BROKERAGE FIRMS; SUITS AND LITIGATION**

**Personal Names:**

---

15/3,K/37 (Item 6 from file: 475)  
DIALOG(R)File 475: Wall Street Journal Abs

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06029145

**TREASURY SETS BIDDING RULES AIMED AT CLEANING UP TROUBLED AUCTIONS**

Wall Street Journal , Col. 3 , Pg. 1 , Sec. C

Monday October 28 1991

**Abstract:**

...dealers of government securities in effort to clean up debt auctions in wake of Salomon **Brokers** Inc trading scandal; will, under new rules, **allow** all **broker** dealers to **bid** on government securities on behalf of customers--privilege previously restricted elite club of 39 firms...

**Descriptors:** GOVERNMENT BONDS; VIOLATIONS OF SECURITIES AND COMMODITIES REGULATIONS; REFORM AND REORGANIZATION; **BROKERS** AND BROKERAGE FIRMS

**Personal Names:**

---

15/3,K/38 (Item 7 from file: 475)

DIALOG(R)File 475: Wall Street Journal Abs

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01110002 . **NYT Sequence Number:** 009232781218

(Small insurance brokers, at first day of hearings on proposed New York Insurance Exchange, oppose proposed category of 'associate brokers' that would be permitted to do business with exchange (S).)

Wall Street Journal , Col. 3 , Pg. 20

Monday December 18 1978

(Small insurance brokers, at first day of hearings on proposed New York Insurance Exchange, oppose proposed category of 'associate brokers' that would be permitted to do business with exchange (S).)

**Descriptors:** **BROKERS** AND **BROKERAGE FIRMS**; **INSURANCE**; **SMALL BUSINESS**

**Personal Names:**

---

15/3,K/39 (Item 8 from file: 475)

DIALOG(R)File 475: Wall Street Journal Abs

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01104526 **NYT Sequence Number:** 003756780526

(Fed Reserve Board moves to drop restriction on subordinated capital loans between brokerage firms. Proposes allowing over-the-counter firms to make or receive such loans. Holds that purpose is to make it easier for brokerage firms to borrow within industry (S).)

Wall Street Journal , Col. 4 , Pg. 3

Friday May 26 1978

(Fed Reserve Board moves to drop restriction on subordinated capital loans between brokerage firms. Proposes allowing over-the-counter firms to make or receive such loans. Holds that purpose is to...

**Descriptors:** **BROKERS** AND **BROKERAGE FIRMS**; **CREDIT**; **LAW AND LEGISLATION**

**(FEDERAL); OVER-THE-COUNTER TRADING**

**Personal Names:**

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15/3,K/40 (Item 9 from file: 475)

DIALOG(R)File 475: Wall Street Journal Abs

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01044766 NYT Sequence Number: 006354750813

**(Fed Reserve Bd proposes to change existing rule that bars extension of credit to purchaser of an option to buy or sell stock. Under proposal, broker-dealers could allow writers of uncollateralized options to put down 30% of mkt value of underlying security (S).)**

Wall Street Journal , Col. 2 , Pg. 9

Wednesday August 13 1975

**...bars extension of credit to purchaser of an option to buy or sell stock. Under proposal, broker-dealers could allow writers of uncollateralized options to put down 30% of mkt value of underlying security (S).)**

**Descriptors: BROKERS LOANS; MARGIN TRADING; OPTIONS TRADING (SECURITIES); STOCKS AND BONDS**

**Personal Names:**

? t/3,k/all

>>> Retrying request [1]

1/3,K/1 (Item 1 from file: 180)

DIALOG(R)File 180: Federal Register

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**DIALOG Accession Number: 03107617      Supplier Number: 67049008**

**Regulation To Restrict Dual Trading in Security Futures Products**

**Volume: 67    Issue: 49    Page: 11223**

**Citation Number: 67 FR 11223**

**Date: Wednesday, March 13, 2002**

**Text:**

...FOOTNOTE

The Commission also acknowledged in the proposing release that a DCM or DTF may **permit** the simultaneous trading of security futures products through open outcry on a trading floor and on an electronic trading system for the same **product**, also known as "side-by-side trading." The Commission would **permit** a floor **broker**, during the same trading session, to enter a **bid** or offer for a security futures **product** for a customer account on an electronic trading system and to trade the same product for **non-customer** accounts listed in SUBSEC 41.27(a)(4)(i)-(v) through open outcry. However...

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**Dialog eLink:** Order File History

1/3K/2 (Item 1 from file: 348)

DIALOG(R)File 348: EUROPEAN PATENTS

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01892069

**Transaction processing**

Transaktionsverarbeitung

Traitement de transaction

**Patent Assignee:**

- **Web Component Trading Limited; (5042620)**  
Unit 3, Kerry Technology Park; Tralee, County Kerry; (IE)  
(Applicant designated States: all)

**Inventor:**

- **Scroope, Alan**  
2 Aghadoe Heights; Killarney County Kerry; (IE)

**Legal Representative:**

- **Weldon, Michael James et al (72443)**  
c/o John A. O'Brien & Associates, Third Floor, Duncairn House, 14 Carysfort Avenue;  
Blackrock, Co. Dublin; (IE)

	Country	Number	Kind	Date	
Patent	EP	1528499	A1	20050504	(Basic)
Application	EP	2004394066		20041103	
Priorities	IE	20030818		20031103	

**Designated States:**

AT; BE; BG; CH; CY; CZ; DE; DK; EE; ES;  
FI; FR; GB; GR; HU; IE; IS; IT; LI; LU;  
MC; NL; PL; PT; RO; SE; SI; SK; TR;

**Extended Designated States:**

AL; HR; LT; LV; MK; YU;

**International Patent Class (V7):** G06F-017/60**Abstract Word Count:** 205

**NOTE:** 3

**NOTE:** Figure number on first page: 3

Legal Status Type	Pub. Date	Kind	Text
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Language Publication: English

Procedural: English

Application: English

Fulltext Availability Available Text	Language	Update	Word Count
CLAIMS A	(English)	200518	556
SPEC A	(English)	200518	3126
Total Word Count (Document A) 3682			
Total Word Count (Document B) 0			
Total Word Count (All Documents) 3682			

**Specification:** ...associated with the manufacturer or on its generic WCTBID.com Web server. The hub 100 allows access by the broker systems B1 - Bn on the basis or a tiered access control permission structure and allows them to bid. In any one access, any one broker system can access the current highest bid, but not who that bid was made by. At the end of the bidding process, the hub 100 transmits a message to the winning broker system 100 and issues an invoice. The broker system transfers funds for payment and the hub 100 transmits it on to the relevant manufacturer client 200 less a commission. The goods are shipped directly to the location specified by the broker.

The hub 100 may alternatively...

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Dialog eLink: [Order File History](#)

1/3K/3 (Item 1 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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01600213

## ECOMMERCE-ENABLED ADVERTISING PUBLICITE DE COMMERCE ELECTRONIQUE

### Patent Applicant/Patent Assignee:

- **GOOGLE INC;** 1600 Amphitheatre Parkway, Building 41, Mountain View, CA 94043  
US; US (Residence); US (Nationality)  
(For all designated states except: US)
- (Designated only for: US)

### Patent Applicant/Inventor:

- **CHUNG David**  
c/o Google Inc., 1600 Amphitheatre Parkway, Building 41, Mountain View, CA 94043; US; US (Residence); CN (Nationality); (Designated only for: US)
- **MOONKA Rajas**  
Google Inc., 1600 Amphitheatre Parkway, Building 41, Mountain View, CA 94043; US; US (Residence); US (Nationality); (Designated only for: US)
- **RAJARAM Gokul**  
Google Inc., 1600 Amphitheatre Parkway, Building 41, Mountain View, CA 94043; US; US (Residence); IN (Nationality); (Designated only for: US)

**Legal Representative:**

- **HOFFMAN Brian M et al(agent)**  
Fenwick & West LLP, Silicon Valley Center, 801 California Street, Mountain View, CA 94041; US;

	Country	Number	Kind	Date
Patent	WO	2007147148	A2-A3	20071221
Application	WO	2007US71398		20070615
Priorities	US	2006424516		20060615

**Designated States:** (All protection types applied unless otherwise stated - for applications 2004+)

**Language Publication Language:** English

**Filing Language:** English

**Fulltext word count:** 10509

**Detailed Description:**

...customer 102, invoicing the merchant 104, and/or through another technique. In one embodiment, the **broker** 106 shares 720 a portion of the **bid** with the publisher 108.

[0093] In summary, the ecommerce-enabled ad units **allow** the customer 102 to purchase **items without** leaving the web pages on which the ad units are displayed.

Moreover, the ad units...

---

**Dialog eLink:** [Order File History](#)

1/3K/4 (Item 2 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00852841

**COMMODITY BROKERAGE SYSTEM AND METHOD**  
**SYSTEME ET PROCEDE DE COURTAGE EN MARCHANDISES**

**Patent Applicant/Patent Assignee:**

- **eGREENCOFFEE COM INC**; 102-D Executive Drive, Sterling, VA 20166  
US; US(Residence); US(Nationality)

**Legal Representative:**

- **BELL Michael J(agent)**  
Howrey Simon Arnold & White, LLP, 1299 Pennsylvania Avenue, N.W., Box 34, Washington,  
DC 20004-2402; US;

	Country	Number	Kind	Date
Patent	WO	200186478	A2	20011115
Application	WO	2001US12031		20010413
Priorities	US	2000549549		20000414

**Designated States:** (All protection types applied unless otherwise stated - for applications 2004+)

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

**Language** Publication Language: English

Filing Language: English

Fulltext word count: 24373

**Detailed Description:**

...preferred embodiment of the present invention, if a trading partner executes a transaction that does **not** precisely match the original **bid** or offer, the commodity **brokerage** system will automatically generate new spot, custom, or spread **bids** and offers, and **allow** the trading partner to indicate that the generated **bids** and offers should be posted. This feature advantageously **allows** a trading partner to accept a transaction that does **not** exactly match the requirements of the bidoffer, and facilitates creating bid **items** and offer **items** in the commodity brokerage system to sell off excess quantity, or to purchase additional quantity...

---

**Dialog eLink:** Order File History

1/3K/5 (Item 3 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00829946

**SYSTEM AND METHOD FOR FACILITATING A REQUEST FOR PROPOSAL PROCESS**  
**SYSTEME ET PROCEDE FACILITANT UN PROCESSUS DE DEMANDE DE PROPOSITION**

**Patent Applicant/Patent Assignee:**

- **IE-ENGINE INC**; 85 Eastern Avenue, Gloucester, MA 01966  
US; US(Residence); US(Nationality)

**Legal Representative:**

- **STEWART David L(et al)(agent)**  
McDermott, Will & Emery, 600 13th Street, N.W., Washington, DC 20005-3096; US;

	Country	Number	Kind	Date
Patent	WO	200163525	A1	20010830
Application	WO	2001US5600		20010223
Priorities	US	2000184321		20000223

**Designated States:** (All protection types applied unless otherwise stated - for applications 2004+)

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

**Language** Publication Language: English

Filing Language: English

Fulltext word count: 11152

**Detailed Description:**

...in step 308, the insurance carriers review the RFP in order to determine whether or **not** they are interested in **bidding** on the RFP. After deciding to participate in the RFP auction, a carrier can communicate with the **broker** using multiple iterations (step 310) that **allow** the carrier to ask questions, receive answers and submit one or more **bids** related to the RFP. If the RFP includes a plurality of insurance **products**, the submitted bids can relate to all the insurance **products** within the RFP or relate to less than all the products (e.g., a sub...with an offer than includes IO% co-pay but only a slightly higher premium. By **allowing** such deviations, the insurance engine **permits** a **broker** to see and evaluate these "alternative", **non-conforming bids**.

- 27

In a preferred embodiment, the carrier can **access** an online version of a completed **product** template that is included in an RFP, edit the values in the template to reflect...

Dialog eLink: Order File History

1/3K/6 (Item 4 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00820474

**SYSTEM FOR TRADING COMMODITIES AND THE LIKE**

SYSTEME PERMETTANT D'ECHANGER DES MARCHANDISES ET AUTRES PRODUITS DE  
CE TYPE

**Patent Applicant/Inventor:**

- **ANNUNZIATA Vincent P**  
One Cobb Island Drive, Greenwich, CT 06830-7244; US; US(Residence); US(Nationality);

**Legal Representative:**

- **WINTER Gene S(et al)(agent)**  
St. Onge Steward Johnston & Reens LLC, 986 Bedford Street, Stamford, CT 06905-5619; US;

	Country	Number	Kind	Date
Patent	WO	200154037	A1	20010726
Application	WO	2001US2037		20010122
Priorities	US	2000177275		20000121
	US	2001764574		20010118

**Designated States:** (All protection types applied unless otherwise stated - for applications 2004+)

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

**Language** Publication Language: English

**Filing Language:** English

**Fulltext word count:** 8244

**Detailed Description:**

...anonymously for his client, i.e. that a client's name or other identification information **not** be - 15  
provided with any bids or offers submitted to the system 1 0. Alternatively, the user 16 may **permit** the  
b..ok.er to submit indications under the user's name.

Thus, the **broker** may submit a **bid** for a **commodity** and the indication could be shown under the user's contact information and according the...

---

**Dialog eLink:** Order File History

1/3K/10 (Item 8 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00797958

**A SYSTEM AND METHOD FOR BUYING AND SELLING CARGO TRANSPORTATION SERVICES**

SYSTEME ET PROCEDE D'ACHAT ET DE VENTE DE SERVICES DE TRANSPORT MARCHANDISES

**Patent Applicant/Inventor:**

- **ZIVLIN Zvika**  
Flat 6, 14 Eton Avenue, London NW3 3EW; GB; GB(Residence); GB(Nationality);

**Legal Representative:**

- **FIELD Howard John(et al)(agent)**  
Beresford & Co, 2-5, Warwick Court, High Holborn, London WC1R 5DH; GB;

	Country	Number	Kind	Date
Patent	WO	200131525	A2	20010503
Application	WO	2000IB1642		20001030
Priorities	US	99162423		19991028

**Designated States:** (All protection types applied unless otherwise stated - for applications 2004+)

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

**Language** Publication Language: English

Filing Language: English

Fulltext word count: 2017

**Detailed Description:**

...the use of a bidding  
process. The system and method of the current invention

will **allow** the coordination of several potential users to share a single transportation outlet **without** the need of submitting a single **bid** through a **broker** or other such.

## 2, Prior Art

Freight space is a crucial **commodity** which is quite often under utilised due to the way it is spread geographically.

A...

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1/3,K/11 (Item 1 from file: 635)  
DIALOG(R)File 635: Business Dateline(R)  
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0216531 91-39285  
**Shaking a Shoddy Image**

Rigg, Cynthia  
Crains New York Business ( New York , NY , US ) , V 7 N 19 s 1 p 3  
**Publication Date:** 910513  
**Word Count:** 994  
**Dateline:** New York, NY, US

### **Text:**

...interest-rate constraints, New York state pawnshop dealers are limited on the resale of unredeemed **merchandise**. They're **not** allowed to sell unclaimed **items** directly, as are shop owners in 48 states. Instead, unclaimed **goods** must be put up for public auction, although a **broker** is **permitted** to buy them at the last-price **bid**.

Only after buying the unredeemed **goods** at auction can a pawnbroker retail the **merchandise**. But the **broker** is also obligated to contact the customer, who has claim to any profit over the...

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Dialog eLink: [Order File History](#)  
1/3,K/14 (Item 2 from file: 654)  
DIALOG(R)File 654: US PAT.FULL.  
(c) Format only 2009 Dialog. All rights reserved.  
7872702  
UTILITY

**Read-only user access for web based auction**

Inventor: Wieseuegel, Leland James, Austin, TX, US  
Roberts, Rebecca Lynn, Austin, TX, US  
Morrison, William James, Gilmanton, NH, US  
Rzepka, Jacob Marvin, Round Rock, TX, US

Assignee: International Business Machines Corporation, (02), Armonk, NY, US

Examiner: Zurita, James

Legal Representative: Frantz, Robert H.; Mims, Jr., David A.

	Publication Number	Kind	Date	Application Number	Filing Date
Main Patent	US 7475025	B2	20090106	US 2001801613	
20010308					
Related Publ	US 20020128949	A1	20020912		

US Term Extension: 1524 days

Fulltext Word Count: 6689

\*\*IMAGE Available

**Description of the Invention:**

...pairs if the bidder or broker is considering executing an amended RMA to include those items, as well as allowing for guests who do not currently have any entitled location category pairs. In other words, a current bidder or broker may be enabled to see information about certain offers and bid on those offers having a "Y" for those offers in his profile, while he may ...

---

**Dialog eLink: Order File History**

1/3,K/15 (Item 3 from file: 654)

DIALOG(R)File 654: US PAT.FULL.

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7698528

UTILITY

**System for trading commodities and the like**

Inventor: Annunziata, Vincent P., Greenwich, CT, US

Assignee: Unassigned

Correspondence Address: Paul E Schaafsma;NovusIP, LLC, Suite 221, 521 West Superior Street, Chicago, IL, 60610, US

	Publication Number	Kind	Date	Application Number	Filing Date
Main Patent	US 20080215477	A1	20080904	US 200870138	
20080215					
CIP	PENDING			US 2001764574	20010118
Provisional				US 60-177275	20000121

Fulltext Word Count: 21899

\*\*IMAGE Available

Description of the Invention:

...anonymously for his client, i.e. that a client's name or other identification information **not** be provided with any **bids** or offers submitted to the system 10. Alternatively, the user 16 may **permit** the **broker** to submit indications under the user's name. Thus, the **broker** may submit a **bid** for a **commodity** and the indication could be shown under the user's contact information and according the...

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Dialog eLink: Order File History

1/3,K/17 (Item 5 from file: 654)

DIALOG(R)File 654: US PAT.FULL.

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6106260

Derwent Accession: 2005-335290

UTILITY

**Transaction processing**

Inventor: Scroope, Alan, County Kerry, IE

Assignee: Unassigned

Correspondence Address: JACOBSON HOLMAN PLLC, 400 SEVENTH STREET N.W.,  
SUITE 600, WASHINGTON, DC, 20004, US

	Publication Number	Kind	Date	Application Number	Filing Date
	-----		-----	-----	-----
Main Patent	US 20050108147	A1	20050519	US 2004979224	
20041103					
Provisional				US 60-516287	20031103

Fulltext Word Count: 4266

\*\*IMAGE Available

Description of the Invention:

...associated with the manufacturer or on its generic WCTBID.com Web server. The hub 100 **allows access** by the **broker** systems B1-Bn on the basis of a tiered **access** control permission structure and **allows** them to **bid**. In any one **access**, any one **broker** system can **access** the current highest **bid**, but **not** who that **bid** was made by. At the end of the **bidding** process, the hub 100 transmits a message to the winning **broker** system 100 and issues an invoice. The **broker** system transfers funds for payment and the hub 100 transmits it on to the relevant manufacturer client 200 less a commission. The **goods** are shipped directly to the location specified by the broker...

---

Dialog eLink: Order File History

1/3,K/18 (Item 6 from file: 654)

DIALOG(R)File 654: US PAT.FULL.

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6021072

Derwent Accession: 2001-522911

UTILITY

**System and method for facilitating a request for proposal process**

Inventor: Chambers, Phyllis, Rockport, MA, US

Bannerman, Brent, Rockport, MA, US

Reed, Kevin, Gloucester, MA, US

Assignee: Unassigned

Correspondence Address: MCDERMOTT, WILL & EMERY, 600 13th Street, N.W.,  
Washington, DC, 20005-3096, US

	Publication Number	Kind	Date	Application Number	Filing Date
Main Patent	US 20050055299	A1	20050310	US 2001790895	
20010223					
Provisional				US 60-184321	20000223

Fulltext Word Count: 11355

\*\*IMAGE Available

Description of the Invention:

...in step 308, the insurance carriers review the RFP in order to determine whether or not they are interested in **bidding** on the RFP. After deciding to participate in the RFP auction, a carrier can communicate with the **broker** using multiple iterations (step 310) that **allow** the carrier to ask questions, receive answers and submit one or more **bids** related to the RFP. If the RFP includes a plurality of insurance **products**, the submitted bids can relate to all the insurance **products** within the RFP or relate to less than all the products (e.g., a sub...

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Dialog eLink: [Order File History](#)

1/3,K/21 (Item 9 from file: 654)

DIALOG(R)File 654: US PAT.FULL.

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0005074199 \*\*IMAGE Available

Derwent Accession: 2003-074832

**Read-only user access for web based auction**

Inventor: Leland Wiesehuegel, INV

Rebecca Roberts, INV

William Morrison, INV

Jacob Rzepka, INV

Assignee: International Business Machines Corporation 02), Armonk, NY, US

Correspondence Address: Robert H. Frantz, P.O. Box 23324, Oklahoma City, OK  
, 73123-2334, US

	Publication Number	Kind	Date	Application Number	Filing Date
Main Patent	US 20020128949	A1	20020912	US 2001801613	

20010308

Fulltext Word Count: 7495

\*\*IMAGE Available

Description of the Invention:

...pairs if the bidder or broker is considering executing an amended RMA to include those **items**, as well as **allowing** for guests who do **not** currently have any **entitled** location category pairs. In other words, a current bidder or **broker** may be **enabled** to see information about certain offers and **bid** on those offers having a "Y" for those offers in his profile, while he may ...

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Dialog eLink: Order File History

1/3,K/22 (Item 10 from file: 654)

DIALOG(R)File 654: US PAT.FULL.

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0004923699 \*\*IMAGE Available

**System for trading commodities and the like**

Inventor: Vincent Annunziata, INV

Correspondence Address: ST. ONGE STEWARD JOHNSTON & REENS, LLC, 986  
BEDFORD STREET, STAMFORD, CT, 06905-5619, US

	Publication Number	Kind	Date	Application Number	Filing Date
	-----	--	-----	-----	-----
Main Patent	US 20010034688	A1	20011025	US 2001764574	
20010118					
Provisional				US 60-177275	20000121

Fulltext Word Count: 11374

\*\*IMAGE Available

Description of the Invention:

...anonymously for his client, i.e that a client's name or other identification information **not** be provided with any **bids** or offers submitted to the system 10. Alternatively, the user 16 may **permit** the **broker** to submit indications under the user's name. Thus, the **broker** may submit a **bid** for a **commodity** and the indication could be shown under the user's contact information and according the...

---

1/3,K/25 (Item 2 from file: 990)

DIALOG(R)File 990: NewsRoom Current

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1759594823 18CZ2WM6  
**Amendments to Regulation SHO**

RegAlert  
Monday , April 20, 2009  
**Journal Code:** GDGC **Language:** English **Record Type:** Fulltext  
**Document Type:** Trade Journal **ISSN:** N/A  
**Word Count:** 93,340

**Text:**

...of Regulation T, titled ``Separation of accounts,' ' generally provides that requirements for an account may not be met by considering items in any other account. Further, Regulation T identifies three types of customer accounts--cash accounts, margin accounts and good faith accounts--in which customer transactions may be booked. A broker-dealer can extend credit to customers through a margin account or a good faith account...

---

1/3,K/26 (Item 3 from file: 990)  
DIALOG(R)File 990: NewsRoom Current  
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1731121339 18A63QHU  
**To make appropriations for the biennium beginning July 1, 2009, and ending June 30, 2011 for the operation of state programs.**

LegAlert (Full Text)  
Tuesday , February 24, 2009  
**Journal Code:** KBJH **Language:** English **Record Type:** Fulltext  
**Document Type:** Trade Journal **ISSN:** N/A  
**Word Count:** 909,011

**Text:**

...lease the building, structure, or other improvement to the state agency. The form of the bid approved by the department shall be used, and a bid is invalid and shall not be considered unless that form is used without change, alteration, or addition. Before submitting bids pursuant to this section, any builder shall comply with Chapter 153. of the Revised Code ...fact that the first four digits of the number assigned to the additional classifications do not correspond to the first four digits of the numbers assigned to other classifications in the...

---

1/3,K/30 (Item 1 from file: 993)  
DIALOG(R)File 993: NewsRoom 2006  
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1218106789 17A43894

**Budget Bill. additional appropriations for 2004-2006 biennium.**

LegAlert

Friday , June 9, 2006

**Journal Code:** GDGD **Language:** English **Record Type:** Fulltext

**Document Type:** Trade Journal **ISSN:** N/A

**Word Count:** 324,298

**Text:**

...of (section)

22.1-101.1, Code of Virginia. To the extent these funds are **not** adequate to cover the full costs specified therein, the Department is **authorized** to expend unobligated balances in this **Item** and **Item** 146 for this support.

[Added: I. By June 30, 2006, the Director, Department of Planning...

---

1/3,K/33 (Item 1 from file: 994)  
DIALOG(R)File 994: NewsRoom 2005  
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0978602771 16V534CL

**to amend 2-13-240, code of laws of south carolina, 1976, relating to distribution of the code of laws of south carolina, so as to provide for code distribution to newly created and reorganized state agencies; to amend chapter 30, title 1, relating to**

LegAlert

Thursday , March 3, 2005

**Journal Code:** GDGD **Language:** English **Record Type:** Fulltext

**Document Type:** Trade Journal

**Word Count:** 181,167

**Text:**

...to determine the method of disposal to be used, which possible methods include: auction, sealed **bids**, listing the property with a private **broker** or any other method determined by the

[Deleted: Office of General Services] [Added: board] to...

